

U.S. DEPARTMENT OF COMMERCE, PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO.	SERIAL NO.
		M-8664-3C US	09/550,752
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant(s)	
(Use several sheets if necessary)		Tomas Leon and Lewis J. Spellman Group	
Filing Date		4/17/00	
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)		Technology Center 2100	
C5	Binder, "Indexing the Economy Through Financial Intermediation," RESEARCH MEMO No. 196, Princeton University Econometric Research Program (1976)		
C6	Bodie, "An Innovation for Stable Real Retirement Income," Fall 1980 J. PORTFOLIO MGMT. 5-13		
C7	Bootle, INDEX-LINKED GILTS, 2 nd ed., Woodhead-Faulkner, New York (1991) (1 st ed. published 1985)		
C8	Cohn et al., "Alternative Mortgage Designs," in the Proceedings of a Conference on NEW MORTGAGE DESIGNS FOR STABLE HOUSING IN AN INFLATIONARY ENVIRONMENT, held in Cambridge, MA, January 1975		
C9	Committee to Review the Functioning of Financial Institutions, REPORT TO PARLIAMENT, Chapters 5 and 7 (June 1980)		
C10	Fisher, "Adjusting Wages to the Cost of Living," MONTHLY LABOR REV. VII(5):1151-1155 (1918)		
C11	Fisher, "The Tabular Standard in Massachusetts History," QUARTERLY J. ECON. XXVII:417-454 (1913)		
C12	Fisher, THE MONEY ILLUSION, Adelphi, New York (1928)		
C13	Fisher, THE PURCHASING POWER OF MONEY, MacMillan Co., New York (1926), pp. 208-9		
C14	Huberman et al., "Information-Aggregation, Inflation, and the Pricing of Indexed Bonds," J. POLITICAL ECON. 93(1):92-114 (1985)		
C15	Jud, INFLATION AND THE USE OF INDEXING IN DEVELOPING COUNTRIES, Praeger Special Studies, New York (1978)		
C16	Kouri, "Finland," in INFLATION AND INDEXATION: ARGENTINA, BRAZIL, AND ISRAEL, Williamson (ed.), MIT Press, Cambridge, MA (1985)		
C17	Marshall, "Remedies for Fluctuations of General Prices" (1887) <i>reprinted in</i> MEMORIALS OF ALFRED MARSHALL, Pigou (ed.), Kelley & Millman, New York, 1956		
C18	McCulloch, "Measuring the Term Structure of Interest Rates," J. BUSINESS 44:19-31 (1971)		
C19	Mukherjee et al., INDEXATION IN AN INFLATIONARY ECONOMY, A CASE STUDY OF FINLAND, CHAPTERS VI-X, Vol. XL, Broadsheet No. 551, pp. 50-110 (1976)		

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		Pyle, "On the Theory of Financial Intermediation," J. FINANCE XXVI(3):737-747 (1971)	
	C21	Schaefer, "Measuring a Tax-Specific Term Structure of Interest Rates in the Market for British Government Securities," ECONOMIC J. 91:415-438 (1981)	
	C22	Tobin, AN ESSAY ON PRINCIPLES OF DEBT MANAGEMENT, Cowles Foundation for Research in Economics at Yale University, New Haven, CT (1963)	
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Examiner	Date Considered		
*EXAMINER. Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.			

Form PTO-1449 (modified)

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

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TTHC:003US/DLPSerial No.
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Tomás Leon
Lewis J. SpellmanFiling Date:
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U.S. Patent Documents

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Foreign Patent Documents

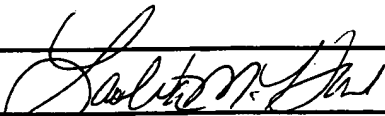
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Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C23	Markman claim construction, Trans Texas Holdings Corporation v. Pimco Advisors, L.P., and Pimco Funds, U.S. District Court for the Western District of Texas, Austin Division, No. A 99 CA 658 SS, May 26, 2000.

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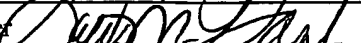
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)		
	AQ	"Index Gilts," <u>Economic Progress Report</u> , No. 133, May 1981
	AR	Goode, R. "A Constant Purchasing Power Savings Bond," <u>National Tax Journal</u> , Vol. IV, No. 4 (1951).
	AS	"Inflation and Indexation, Argentina, Brazil, and Israel," Institute for International Economics, Washington, D.C., Edited by John Williamson, March 1985


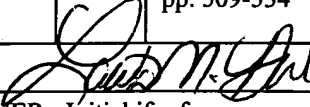
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)		
	AQ	Rutterford, J., "Index-Linked Gilts," <u>National Westminster Bank Quarterly</u> , Nov. 1983
	AR	Fischer, Stanley, "Inflation, Debt and Indexation," The MIT Press, Cambridge, Massachusetts and London, England (originally published in 1977)
	AS	Fischer, Stanley, (1975) "The Demand for Index Bonds," <u>Journal of Political Economy</u> , Vol. 83, no. 3, pp. 509-534
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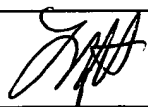
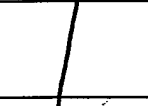

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	AR	Aztech Properties, Inc. v. Union Planters National Bank of Memphis, Supreme Court of Tennessee; 530 S.W.2d 756 (1975)
	AS	Guaranty Trust Co., Trustees v. Henwood, Trustees, et al.; Supreme Court of the United States; 307 U.S. 247; 59 S.Ct. 847 (1939)

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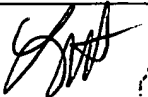

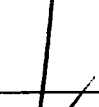

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AQ	Letter from Michael Chibib of Akin, Gump, Strauss, Hauer & Feld, L.L.P. to David D. Bahler of Fulbright & Jaworski, L.L.P. dated April 14, 2000 regarding Trans Texas Holdings Corporation v. Pacific Investment Management Company	✓
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Examiner <i>Simon H.</i>	Date Considered <i>6/18/03</i>
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<div style="text-align: center;"> U.S. Patent Documents RECEIVED JAN 03 2001 Technology Center 2100 </div>							
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	B1						
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
	C1	Arak et al., "The Real Rate of Interest: Inferences from the New U.K. Indexed Gilts," INTERNAT'L ECONOMIC REV. 26(2):399-408 (1985)					
	C2	Bach et al., "A Stable Purchasing Power Bond," AMERICAN ECONOMIC REV. XXXI(4):823-825 (1941)					
	C3	Baer et al., "The Trouble with Index-Linking: Reflections on the Recent Brazilian Experience," WORLD DEVELOPMENT 8:677-703 (1980)					
	C4	Bank of England Press Notices, July 3, 1981, December 18, 1981, June 18, 1982, December 17, 1982, June 17, 1983, and December 16, 1983					

Leon J. Spellman 6/18/03